

SECRET

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26 June 1968

TO

: Director
Federal Bureau of Investigation

Director
United States Secret Service

Deputy Assistant Secretary for Security
Department of State

Director, Bureau of Intelligence and Research
Department of State

Chief, Counterintelligence and Security Office (DIACI)
Defense Intelligence Agency

Assistant Chief of Staff, Intelligence
Department of the Army

Director, Naval Investigative Service
Department of the Navy

Chief, Counterintelligence Division
Directorate of Special Investigations
The Inspector General, USAF

The Commissioner
Immigration and Naturalization Service

Director
National Security Agency

SUBJECT : Watchlist of American Defectors and Potential
Defectors

REFERENCE: CSCI-316/00042-68, 3 January 1968

SECRET

1. Background. The "Watchlist of American Defectors and Potential Defectors" was formerly referred to as the "Listing of U. S. Defectors." The title has been changed, however, to better describe the listing, which was first undertaken in November 1964, following the assassination of the President. At that time no other component of the U. S. Government maintained comprehensive listings of persons such as Oswald, nor did any other component have a computer capability to handle this sort of program. Moreover, this Agency, charged with providing foreign counterintelligence in support of Presidential protection, itself required some means of rapid retrieval of names by country and area. Further authority for establishment of the listing existed in NSCID No. 5, which charged this Agency with maintenance of the central index of foreign counterintelligence.

2. Criteria. These listings are intended to serve as a central special index for the counterintelligence and security elements of the USG. They are an operational tool, and judgments as to whether a name should be included have been made on the basis of possible threat to the security of the United States and its senior officials. Precise definitions have deliberately not been developed for defector or U. S. citizen. In general, U. S. citizens and others owing some measure of allegiance to the U. S. Government, who have evidenced disloyalty or disaffection by defecting or deserting, or attempting or threatening to defect or desert to a Sino-Soviet bloc country, have been included in these listings. Any formal determination as to the status of any of these persons can only be made by reference to the basic files, which in most cases are held by other USG components. Thus the information in the Watchlist has not been evaluated, and no executive action should be taken without reference to the agency with which the information originated. In fact, action of any sort should be most circumspect, not only because of the unevaluated nature of the data, but also to protect sources which in many instances are sensitive.

3. Accountability. In view of the fact that these listings are based on information from a variety of sources, many of them sensitive, the security classification of SECRET must be observed. Access to these listings must be on a strict need-to-know basis. The listings have therefore been accountable documents, subject to recall. Many recipients have already returned superseded editions. The other users are requested to do so now, at least for the first through fourth editions. If it is necessary to retain both the current edition and the most recently superseded edition, this is of course acceptable.

SECRET

4. Current listings.

(a) The sixth edition of the Watchlist of American Defectors and Potential Defectors was prepared on 14 June 1968, and supersedes the listings furnished under cover of referenced letter.

(b) The listings have been produced in three forms: (A) overall, with alphabetic index; (B) persons in the United States, with alphabetic index; and (C) persons outside the United States, with alphabetic index. Most components have been furnished "A" listings, but I&NS, State, FBI, and Secret Service have also been furnished copies of "B" and "C". In response to a request from one of the users to flag any information which was added since the previous dissemination, an asterisk (*) now appears before the Arbitrary Number in the alphabetic index to indicate either a new name or a name against which information has been added. The T following a name in the index indicates that this particular name is carried in the listing as the individual's true name.

(c) These listings should assist various components of this Government in keeping track of U.S. citizens and others owing, or who owed, some measure of allegiance to the United States, who have evidenced disloyalty or disaffection by defecting or deserting, or attempting or threatening to defect or desert to a Sino-Soviet bloc country. It is again emphasized that these listings are not based on precise evaluation of all available information and comparison with detailed criteria. They reflect an operational judgment that an individual might have endangered or might some day endanger the security of the United States. Certainly, no action should be taken against an individual solely on the basis of this listing, but inclusion of a name in the listing should alert users to the fact that derogatory information may have been reported on the individual.

(d) Information contained in the attached listings has been provided by a number of other U.S. Government components, as well as by this Agency. Thus the listings must be handled strictly in accordance with the security classification of SECRET, with access based on a clear-cut need-to-know. This is particularly important in cases where there has as yet been no overt act of defection (for the most part, persons appearing in the "B" list).

SECRET

SECRET

(e) On certain of the subjects, there is further information relating to their involvement in espionage for a Sino-Soviet bloc service. In general, such information has deliberately been omitted, having already been disseminated through normal channels to the appropriate components. Only in instances in which the information has become public, usually in court, has reference to espionage activity been included.

5. Special listings. It is not feasible for this Agency to provide detailed information on all persons listed, in part because much of the information has been provided by other U. S. Government agencies, and in part because most of it has already been disseminated as appropriate. However, if any of the recipients has a requirement for a special listing based on one of the elements of information included in the attached listings, an effort will be made to satisfy the request.

FOR THE DEPUTY DIRECTOR FOR PLANS:

James A. Howe
for JAMES ANGLETON

CSCI-316/02507-68

Distribution:

Addressees

Attachments:

FBI - A, 2B, 2C

Secret Service - A, B, C

State/SY - A, B, C

State/INR - A, B, C

DIA - 2A

Army - A

Navy - A

Air Force - A

I&NS - A, B, C

NSA - 2A

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ROUTING AND RECORD SHEET

ACC-5

SUBJECT: (Optional)

FROM:		EXTENSION	NO.
CI/MRO 2 C 29			
TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS
	RECEIVED	FORWARDED	
1. DDP	2 July		SM
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COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)			
<p>From a modest beginning the US Defector watchlist has grown into a medium-sized program which is widely used in the community. As far as I know, it is the only mechanism whereby counterintelligence is provided by various USG agencies for compilation and dissemination to all participants.</p> <p>(A. Rende)</p> <p>03</p> <p>Good and -</p> <p>RP</p>			

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172